

**UNITED STATES DISTRICT COURT  
WESTERN DISTRICT OF WISCONSIN**

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**SECURITIES AND EXCHANGE  
COMMISSION,**

**Plaintiff**

**,v.**

**EDWARD S. WALCZAK,**

**Defendant.**

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) **No. 20 Civ. 76**  
)  
) **ECF Case**  
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**DEFENDANT, EDWARD S. WALCZAK'S RULE 26(a)(3) DISCLOSURES**

Defendant, Edward S. Walczak, respectfully submits the following disclosures in accordance with this Court's order and Rule 26(a)(3):

**Rule 26(a)(3)(A)(i) – Witnesses**

Defendant expects to call the following witnesses at trial:

Edward S. Walczak  
c/of Zachary J. Ziliak  
ZILIAK LAW LLC  
141 W. Jackson Blvd., Suite 4048  
Chicago, IL 60604

Kimberly Rios  
c/of James C. Yong  
Baugh, Dalton, Carlson & Ryan, LLC  
135 S. LaSalle St., Ste 2100  
Chicago, IL 60603-4223

Jerry Szilagyi  
c/o James F. Moyle  
Lazare Potter Giacobas & Moyle LLP  
747 Third Avenue, 16th Floor  
New York, New York 10017

Direct (212) 784-2407

Michael Schoonover  
c/o James F. Moyle  
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George Amrhein  
c/o James F. Moyle  
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David Miller  
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Jeremy O'Keefe  
c/o Richard Reibman  
Thompson Coburn LLP  
55 E. Monroe  
Chicago, IL 60603  
312-580-2205

SEC Rule 30(b)(6) Witness – Topic: Interrogatory Answers  
c/o Michael Foster  
Securities and Exchange Commission  
175 W. Jackson, 14<sup>th</sup> Floor  
Chicago, IL 60604  
fosterm@sec.gov

Michael DeLaval  
c/of Zachary J. Ziliak

ZILIAK LAW LLC  
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Chicago, IL 60604

Norman Harrison  
c/of James L. Kopecky  
KOPECKY SCHUMACHER ROSENBERG LLC  
120 N. LaSalle Street, Ste. 2000  
Chicago, IL 60602

Dan Jensen  
Catalyst Mutual Funds  
c/o Potter Giacovas & Moyle LLP  
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Direct (212) 784-2407

Daniel Saffrin  
25 Ronan Road, Unit 205  
Highwood, IL 60040

Defendant may call the following witnesses at trial:

Bart Evans  
Evans Investment Advisors LLC  
6713 Perkins Road  
Baton Rouge, LA 70808  
225-761-7870

Paul Rieger  
RCM Alternatives  
318 W. Adams Street  
Chicago, IL 60606  
312-870-1512

Joe Sullivan  
c/o Richard Reibman  
55 E. Monroe  
Chicago, IL 60603  
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Robert Glass  
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Nicholas Bibbo  
Northern Lights Distributors  
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Charles Jacobsen  
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10 South Riverside Plz., Suite 2000  
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312-893-3750

Jason Waxler  
Katonah Capital Group, LLC  
American Portfolio Financial Services  
80 Business Park Drive, Suite 304  
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2 Cotton Street, Suite 200  
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Jimmy Kuhn  
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631-961-8794

Chad Edwards  
Prehmus Financial Partners  
770-825-0248

Ralph H. Hendry  
Potomac Wealth Management Inc.  
218 N. Lee Street, Suite 300  
Alexandria, VA 22314

Michael James Hanks  
LPL Financial  
3000 Woodcreek Drive, Ste 210  
Downers Grove, IL 60515-5401

Ralph Allen  
HawkPeak  
7400 30<sup>th</sup> Street, SE  
Ada, MI 49301

August Ewald  
(need contact information)

Defendant may call any witness identified by Plaintiff on its Rule 26(a)(3)(ii) witness list.

**Rule 26(a)(3)(A)(ii) - Deposition Designations**

Defendant does not expect to present any testimony by deposition.

**Rule 26(a)(3)(A)(iii) - Exhibits**

Defendant's exhibit list is being exchanged with Plaintiff's counsel separately pursuant to this Court's order.

Dated: January 28, 2022

Respectfully submitted,

By: /s/ James L. Kopecky  
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*Counsel for Defendant*

**CERTIFICATE OF SERVICE**

The undersigned, an attorney, hereby certifies that he caused true and correct copies of the foregoing document to be served upon all counsel of record via email on January 28, 2022.

/s/ James L. Kopecky